

ffu



Practitioner's Docket No. 2004DE102

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thomas Metz et al.

Application No.: 10/587,694

Group No.:

Filed: July 27, 2006

For: 2, 4-Dioxypyrimidine-based mesoionic pigments

Commissioner for Patent
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

CERTIFICATION UNDER 37 C.F.R. Sections 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is **mandatory**;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

37 C.F.R. section 1.8(a)

37 C.F.R. section 1.10*

☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Address"
Mailing Label No. _____ (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office (571) 273-8300.

Date: Dec. 20, 2006


Signature

Jackie L. Wise
(type or print name of person certifying)

***WARNING:** Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. section 1.10(b).
"Since the filing of correspondence under [section] 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

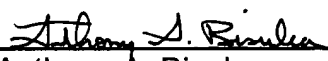
Dear Sir:

In accordance with the duty of disclosure provisions of 37 CFR §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith).

1. ☒ Enclosures accompanying this Information Disclosure Statement are:
 - 1a. ☒ Form PTO/SB/08A.
 - 1b. ☒ Copies of Information Disclosure Statement citations.
 - 1c. ☐ PCT Search Report
 - 1d. ☐ Copies of Co-pending U.S. Applications.
2. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(b) with the filing of the U.S. patent application. Accordingly, no fee or §1.97(e) Statement is required.
3. ☒ This Information Disclosure Statement is filed under 37 CFR §1.97(b) before the latter of three months after the U.S. patent application filing date or the first Office Action on the merits. Accordingly, no fee or §1.97(e) Statement is required.
4. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance. The \$180.00 fee set forth in 37 CFR §1.17(p) in accordance with 37 CFR §1.97(c) is to be charged to Deposit Account No. 03-2060.
5. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(e) in that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. Accordingly, no fee is required.
6. ☐ This Information Disclosure Statement is filed in conjunction with a Request For Continued Examination. Accordingly, no fee or §1.97(e) Statement is required.

7. ☐ The English language documents identified by reference in the TRANSLATION Section of the foreign patents list of the attached PTO/SB/08A Form are believed to be a concise statement, or the equivalent or substantial equivalent to the foreign language documents cited in the attached Form PTO/SB/08A.

Respectfully submitted,



Anthony A. Bisulca
Registration No. 40,913

CUSTOMER NO. 25,255

Clariant Corporation
Industrial Property Department
4000 Monroe Road
Charlotte, North Carolina 28205
Telephone: 704/331-7151
Facsimile: 704/331-7707



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for Form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

| | |
|------------------------|--------------------|
| Application Number | 10/587,694 |
| Filing Date | July 27, 2006 |
| First Named Inventor | Thomas Metz et al. |
| Art Unit | |
| Examiner Name | |
| Attorney Docket Number | 2004DE102 |

| | | | |
|-------|---|----|---|
| Sheet | 1 | of | 2 |
|-------|---|----|---|

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| | | Number - Kind Code ² (if known) | | | |
| | AA | 4,525,591 | 6/25/1985 | Lotsch et al. | |
| | AB | 6,872,245 | 3/29/2005 | Grimm et al. | |
| | AC | | | | |
| | AD | | | | |
| | AE | | | | |
| | AF | | | | |
| | AG | | | | |
| | AH | | | | |
| | AI | | | | |
| | AJ | | | | |
| | AK | | | | |
| | AL | | | | |
| | AM | | | | |
| | AN | | | | |
| | AO | | | | |
| | AP | | | | |
| | AQ | | | | |
| | AR | | | | |
| | | | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Translation | T ⁶ |
|-----------------------|--------------------------|---|-----------------------------------|--|-------------|--------------------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | BA | | | | | <input type="checkbox"/> |
| | BB | | | | | <input type="checkbox"/> |
| | BC | | | | | <input type="checkbox"/> |
| | BD | | | | | <input type="checkbox"/> |
| | | | | | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, MA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

| | | | | | |
|---|---|----|--------------------------|------------------------|-----------|
| Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) | | | Complete if Known | | |
| | | | Application Number | 10/587,694 | |
| | | | Filing Date | July 27, 2006 | |
| | | | First Named Inventor | Thomas Metz et al. | |
| | | | Art Unit | | |
| | | | Examiner Name | | |
| Sheet | 2 | of | 2 | Attorney Docket Number | 2004DE102 |

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article, (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------|-----------------------|--|--------------------------|
| | CA | PCT International Search Report for PCT/EP2005/000305, mailed 5/20/2005 | <input type="checkbox"/> |
| | CB | English Translation of the PCT International Preliminary Report on Patentability, mailed 10/12/2006. | <input type="checkbox"/> |
| | CC | Friedrichsen et al., "Six-membered Mesoionic Heterocycles of the m-Quinodimethane Dianion Type," pp. 1083-1148, Heterocycles, Vol. 19, No. 6; 1982 | <input type="checkbox"/> |
| | CD | Plug et al., "Mesionic pyridopyrimidinylum and pyridooxazinylium olates and Non-Mesoionic Pyridopyrimidinones. Structures in Solid State, Solutions and Matrices," J. Chem. Soc. Perkin Trans. 2, pp 2096-2108; 2000 | <input type="checkbox"/> |
| | CE | Hisano et al., "Reaction of Aromatic", N-Oxides with Dipolarophiles. IV Factors Affecting the 1,3-Cycloaddition of Pyridine 1-Oxide with Phenyl Isocyanates," Chem. Phar. Bull. Vol. 29, pp 3706-3712; 1981 | <input type="checkbox"/> |
| | CF | Laackmann et al., "Bis-(Pyrimidinium olates)," Tetrahedron, Vol. 52, No. 15, pp. 5475-5486; 1996 | <input type="checkbox"/> |
| | CG | | <input type="checkbox"/> |
| | CH | | <input type="checkbox"/> |
| | | | |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, MA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.